



Please type a plus sign (+) inside this box → +

PTO/SB/021 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

\$ 1623

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	Application Number 09/852,958
	Filing Date 05/10/2001
	First Named Inventor David A. Sirbasku
	Group Art Unit 1623
	Examiner Name To Be Assigned
	Attorney Docket Number 1944-00201

RECEIVED
SEP 17 2002

TECH CENTER 1600/2900

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment (for an application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <i>Form PTO-1449 (with copies of 18 cited references)</i> <i>Acknowledgement Postcard</i>
<div style="border: 1px solid black; padding: 2px; width: 100%;">Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual Name	Carol G. Mintz, Reg. No. 38,561 Conley Rose & Tayon, P.C.
Signature	
Date	September 11, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: September 11, 2002.

Typed or Printed Name	Frances Hampton	
Signature		Date
		September 11, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, D.C. 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: David A. Sirbasku

GROUP ART UNIT: 1623

SERIAL NO.: 09/852,958

§ EXAMINER: To Be Assigned

FILED: May 10, 2001

FOR: Compositions and Methods for
Demonstrating Secretory Immune System
Regulation of Steroid Hormone Responsive
Cancer Cell Growth

RECEIVED
SEP 17 2002
TECH CENTER 1600/2900
PTH

INFORMATION DISCLOSURE STATEMENT

Atty. Dkt. No.: 1944-00201
Date: September 11, 2002

Commissioner for Patents
Washington, D. C. 20231

Sir:

This Information Disclosure Statement, including completed Form PTO-1449, comprises a list of pertinent art of which Applicants are aware. A copy of each publication listed on Form PTO-1449 is enclosed herewith.

The submission of this Information Disclosure Statement and the references submitted therewith is not an admission that the art cited is "prior" with respect to the present invention, nor is it a representation, that no better art exists. Applicants hereby reserve the right to swear behind or otherwise disprove any alleged "prior" nature of any art cited should the facts support and the situation warrant such an action. It is submitted that the art cited does not constitute a bar to the patentability of Applicants' invention under 35 U.S.C. § 102 or § 103.

No Office Action on the merits has been received in the present application. Nonetheless, in the event that an Office Action dated prior to the mailing date of this Information Disclosure Statement has been issued, please charge Deposit Account 03-2769, Conley, Rose & Tayon, P.C., in the amount of \$180, so that this Information Disclosure Statement may be considered under Rule 1.97(c).

Respectfully submitted,

Carol G. Mintz

Carol G. Mintz

Reg. No. 38,561

Conley, Rose & Tayon, P.C.

P. O. Box 3267

Houston, Texas 77253-3267

(713) 238-8000

AGENT FOR APPLICANT

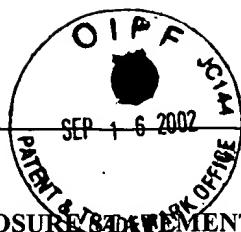
09/16/2002 SSESHE1 00000107 032769 09852958

01 FC:126 180.00 CR

Adjustment date: 12/23/2002 EEFKUAF1

09/16/2002 SSESHE1 00000107 032769 09852958

01 FC:126 180.00 CR



RECEIVED

SEP 17 2002

Sheet 1 of 2

Form PTO-1449 (Modified)

Atty. Docket No.
1944-00201Serial No.
09/852,958INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(Use several sheets if necessary)

TECH CENTER 1600/2900

Applicant
David A. SirbaskuFiling Date
05/10/2001 Group
1623

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
	AA	5,135,849	08/04/92	Soto et al.	435	29	
	AB	5,075,425	12/24/91	Kotitschke et al.	530	387	
	AC	4,859,585	08/22/89	Sonnenschein et al.	435	29	
	AD	4,849,508	07/18/89	Magnin et al.	530	387	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	Translation YES NO
	AE	EP 0702960A	27/03/96	Europe	A61K 39	395	
	AF	WO 00/06723	10/02/00	PCT	C12N	15/12	
	AG	WO 95/09011	06/04/95	PCT	A61K	48/00	
	AH	WO 91/16061	31/10/91	PCT	A61K	35/14	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AI	Partial International Search in PCT/US 01/15183, Applicant David A. Sirbasku, International Filing Date 10/05/2001, Date of Mailing 27/08/2002, pages 4					
	AJ	Partial International Search in PCT/US 01/15171, Applicant David A. Sirbasku, International Filing Date 10/05/2001, Date of Mailing 29/08/2002, pages 3					
	AK	JP Parisot et al., "Altered Expression of the IGF-1 Receptor in a Tamoxifen-Resistant Human Breast Cancer Cell Line," BRITISH JOURNAL OF CANCER, vol. 79, no. 5-6, pp. 693-700, 1999					
	AL	David Danielpour et al., "Growth of MTW9/PL2 Estrogen-Responsive Rat Mammary Tumor Cells in Hormonally Defined Serum-Free Media," IN VITRO CELL. DEV. BIOL., vol. 24, no. 1, pp. 42-52, January 1988					
	AM	Research Diagnostics Inc., 'Online! 10 January 2000 (2000-01-10), XP002207863, Retrieved from the Internet: <URL: http://www.researchd.com/rdiabs/igref.ser.htm > 'retrieved on 2002-07-29! The whole document, page 1					
	AN	Jorge E. Moreno-Cuevas et al., "Estrogen Mitogenic Action. I. Demonstration of Estrogen-Dependent MTW9/PL2 Carcinogen-Induced Rat Mammary Tumor Cell Growth in Serum-Supplemented Culture and Technical Implications," IN VITRO CELL. DEV. BIOL.—ANIMAL, vol. 36, no. 7, pp. 410-427, July-August 2000					
	AO	David A. Sirbasku et al., "Estrogen Mitogenic Action. II. Negative Regulation of the Steroid Hormone-Responsive Growth of Cell Lines Derived From Human and Rodent Target Tissue Tumors and Conceptual Implications," IN VITRO CELL. DEV. BIOL.—ANIMAL, vol. 36, no. 7, pp. 428-446, July-August 2000					

Form PTO-1449 (Modified)	Atty. Docket No. 1944-00201	Serial No. 09/852,958
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	Applicant David A. Sirbasku	
	Filing Date 05/10/2001	Group 1623

continuation,

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	Helenice Gobbi et al., "Transforming Growth Factor- β and Breast Cancer Risk in Women With Mammary Epithelial Hyperplasia," JOURNAL OF THE NATIONAL CANCER INSTITUTE, vol. 91, no. 24, pp. 2096-2101, December 15, 1999,
	AQ	Ruth Sager, "Expression Genetics in Cancer: Shifting the Focus from DNA to RNA," PROC. NATL. ACAD. SCI. USA, vol. 94, no. 3, pp. 952-955, February 1997
	AR	Sanford D. Markowitz et al., "Tumor Suppressor Activity of the TGF- β Pathway in Human Cancers," CYTOKINE & GROWTH FACTOR REVIEWS, vol. 7, no. 1, pp. 99-102, 1996

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	